

2-26-02

EV026159386A

Please type a plus sign (+) inside this box → ☐PTO/SB/05 (4/98)  
Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. MI22-1941

First Inventor or Application Identifier Craig M. Carpenter

Title Interfacial Structure for Semiconductor Substrate Processing ...

Express Mail Label No. EV 026159386 US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ \* Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages 45]  
(preferred arrangement set forth below)
- Descriptive title of the invention plus title page
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 7]
4. Oath or Declaration [Total Pages 4]
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 16 completed)
- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting  
inventor(s) named in the prior application,  
see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

\* NOTE FOR ITEMS 1 & 13 IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY  
FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT  
IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.29).

**ADDRESS TO:**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (identical to computer copy)
- c. ☐ Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

7. ☒ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement of Power of Attorney  
(when there is an assignee)
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
13. ☐ \* Small Entity Statement(s) filed in prior application  
(PTO/SB/09-12) ☐ Status still proper and desired
14. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
15. ☒ Other: Check for \$3,054.00

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No: \_\_\_\_\_ / \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_

Group / Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**17. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label

021567

or ☐ Correspondence address below

(Insert Customer No. or Attach bar code label here)

|         |                                   |           |              |          |              |
|---------|-----------------------------------|-----------|--------------|----------|--------------|
| Name    | Mark S. Matkin                    |           |              |          |              |
|         | Wells St. John P.S.               |           |              |          |              |
| Address | 601 West First Avenue, Suite 1300 |           |              |          |              |
| City    | Spokane                           | State     | WA           | Zip Code | 99201-3828   |
| Country |                                   | Telephone | 509-624-4276 | Fax      | 509-838-3424 |

|                   |   |                                   |         |
|-------------------|---|-----------------------------------|---------|
| Name (Print/Type) | Mark S. Matkin  | Registration No. (Attorney/Agent) | 32,268  |
| Signature         |  | Date                              | 2/22/02 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

PTO/SB/17 (12/99)  
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**FEE TRANSMITTAL****for FY 2002**

Patent fees are subject to annual revision.

Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 C.F.R. §§ 1.27 and 1.28.

**TOTAL AMOUNT OF PAYMENT (\$)** 3,054.00**C m p l e t e I f K n o w n**

|                      |                    |
|----------------------|--------------------|
| Application Number   | Unknown            |
| Filing Date          | Filed Herewith     |
| First Named Inventor | Craig M. Carpenter |
| Examiner Name        | Unknown            |
| Group / Art Unit     | Unknown            |
| Attorney Docket No.  | MI22-1941          |

**METHOD OF PAYMENT (check one)**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **23-0925**

Deposit Account Name **Wells St. John P.S.**

- ☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

2. ☒ Payment Enclosed:

☒ Check ☐ Money Order ☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity Code (\$) | Small Entity Code (\$) | Fee Description        | Fee Paid |
|------------------------|------------------------|------------------------|----------|
| 101 690                | 201 345                | Utility filing fee     | 740.00   |
| 106 310                | 206 155                | Design filing fee      |          |
| 107 480                | 207 240                | Plant filing fee       |          |
| 108 690                | 208 345                | Reissue filing fee     |          |
| 114 150                | 214 75                 | Provisional filing fee |          |

**SUBTOTAL (1) (\$)** 740.00**2. EXTRA CLAIM FEES**

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 109                | -20** = 89   | X 18           | = 1602   |
| 11                 | -3** = 8     | X 84           | = 672    |
| Multiple Dependent |              |                | = 0      |

\*\*or number previously paid, if greater; For Reissues, see below

| Large Entity Code (\$) | Small Entity Code (\$) | Fee Description  | Fee Paid |
|------------------------|------------------------|--|----------|
| 103 18                 | 203 9                  | Claims in excess of 20                                     |          |
| 102 78                 | 202 39                 | Independent claims in excess of 3                          |          |
| 104 260                | 204 130                | Multiple dependent claim, if not paid                      |          |
| 109 78                 | 209 39                 | ** Reissue independent claims over original patent         |          |
| 110 18                 | 210 9                  | ** Reissue claims in excess of 20 and over original patent |          |

**SUBTOTAL (2) (\$)** 2,274.00**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large Entity Code (\$) | Small Entity Code (\$) | Fee Description  | Fee Paid |
|------------------------|------------------------|--|----------|
| 105 130                | 205 65                 | Surcharge - late filing fee or oath  | 0.00     |
| 127 50                 | 227 25                 | Surcharge - late provisional filing fee or cover sheet                     | 0.00     |
| 139 130                | 139 130                | Non-English specification  | 0.00     |
| 147 2,520              | 147 2,520              | For filing a request for reexamination                                     | 0.00     |
| 112 920*               | 112 920*               | Requesting publication of SIR prior to Examiner action                     | 0.00     |
| 113 1,840*             | 113 1,840*             | Requesting publication of SIR after Examiner action                        | 0.00     |
| 115 110                | 215 55                 | Extension for reply within first month                                     | 0.00     |
| 116 380                | 216 190                | Extension for reply within second month                                    | 0.00     |
| 117 870                | 217 435                | Extension for reply within third month                                     | 0.00     |
| 118 1,360              | 218 680                | Extension for reply within fourth month                                    | 0.00     |
| 128 1,850              | 228 925                | Extension for reply within fifth month                                     | 0.00     |
| 119 300                | 219 150                | Notice of Appeal   | 0.00     |
| 120 300                | 220 150                | Filing a brief in support of an appeal                                     | 0.00     |
| 121 260                | 221 130                | Request for oral hearing   | 0.00     |
| 138 1,510              | 138 1,510              | Petition to institute a public use proceeding                              | 0.00     |
| 140 110                | 240 55                 | Petition to revive - unavoidable   | 0.00     |
| 141 1,210              | 241 605                | Petition to revive - unintentional   | 0.00     |
| 142 1,210              | 242 605                | Utility issue fee (or reissue)   | 0.00     |
| 143 430                | 243 215                | Design issue fee   | 0.00     |
| 144 580                | 244 290                | Plant issue fee  | 0.00     |
| 122 130                | 122 130                | Petitions to the Commissioner  | 0.00     |
| 123 50                 | 123 50                 | Petitions related to provisional applications                              | 0.00     |
| 126 240                | 126 240                | Submission of Information Disclosure Stmt                                  | 0.00     |
| 581 40                 | 581 40                 | Recording each patent assignment per property (times number of properties) | 40.00    |
| 146 690                | 246 345                | Filing a submission after final rejection (37 CFR § 1.129(a))              | 0.00     |
| 149 690                | 249 345                | For each additional invention to be examined (37 CFR § 1.129(b))           | 0.00     |
| Other fee (specify)    |                        |  | 0.00     |
| Other fee (specify)    |                        |  | 0.00     |

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$)** 40.00**SUBMITTED BY**Name (Print/Type) **Mark S. Matkin**Signature 

Registration No. (Attorney/Agent)

**32,268****Complete (if applicable)**Telephone **509-624-4276**Date **2/22/02****WARNING:**

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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